

**UNITED STATES DISTRICT COURT
DISTRICT OF MINNESOTA**

JOHN E. GALLUS, et al.,

Plaintiffs,

v.

AMERIPRISE FINANCIAL, INC. (F/K/A
AMERICAN EXPRESS FINANCIAL
CORPORATION), RIVERSOURCE
INVESTMENTS LLC, and
AMERIPRISE FINANCIAL SERVICES,
INC. (F/K/A AMERICAN EXPRESS
FINANCIAL ADVISORS INC.),

Defendants.

Civil Action No. 0:04-cv-4498

Honorable Donovan W. Frank
Magistrate Judge Susan R. Nelson

CORRECTED PLACEHOLDER FOR CONFIDENTIAL EXHIBITS TO:

DECLARATION OF BECKY FERRELL-ANTON

This document is a corrected place holder for the following items which are filed
in conventional or physical form with the Clerk's Office:

Exhibit A:	Statement of Disputed Material Facts
Exhibit B:	Deposition excerpts of Gordon Fines
Exhibit C:	Deposition excerpts of Robert Ewing
Exhibit D:	Deposition excerpts of Arne Carlson
Exhibit E:	Deposition excerpts of Stephen Lewis
Exhibit F:	Deposition excerpts of Paula Meyer
Exhibit G:	Deposition excerpts of Ted Truscott
Exhibit H:	Deposition excerpts of Timothy Armbrustmacher

Exhibit I: Deposition excerpts of Joseph Krekelberg

Exhibit J: Deposition excerpts of Robert Richey

Exhibit K: Deposition excerpts of Douglas Roderick

Exhibit L: No Exhibit L filed.

Exhibit M: Document entitled "San Diego Office Review – Contracts Committee Meeting – March 2004" (AEFE000027409-AEFE000027446)

Exhibit N: Email from Bob Richey to Kent Bergene dated February 4, 2004 (AEFE000019753-AEFE000019755)

Exhibit O: Email string among Paula Meyers, Kris Henderson and Kent Bergene (AEFE0000000006-AEFE000000010)

Exhibit P: Document entitled "American Express Fund – AEFC Pricing Philosophy – AXP Funds and AXP VP D Funds – March 2004" (AEF028500-AEF028503)

Exhibit Q: Form ADV of American Express Asset Management Group, Inc. (FLAXP0087-FLAXP0122)

Exhibit R: Document entitled "Financial Community Presentation/February 5, 2003/Ted Truscott

Exhibit S: Document entitled "2003 Annual Report – Fee and Expense Report" (RS014906-RS015043)

Exhibit T: Document entitled "Top 10 Technology Holding and the Percent of Portfolio" (AEFE000319780-AEFE000319806)

Exhibit U: Email from Paula Meyer to Kent Bergene (AEFE000013076)

Exhibit V: Document entitled "Corrected Copy – American Express Funds, Board of Directors (Trustees) Minutes Dated April 7-8, 2004" (AEF006996-AEF007049)

- Exhibit W: NASD News Release dated December 4, 2002 titled “NASD Fines American Express Financial Advisors \$350,000 for Improper Sales of Variable Annuities and Life Insurance”
- Exhibit X: SEC Release No. 8365/49227 dated February 12, 2004 titled “Order Instituting Administrative and Cease and Desist Proceedings”
- Exhibit Y: NASD News Release dated May 20, 2004 titled “NASD Disciplines Three Firms, Three Brokers for Variable Annuity Abuses”
- Exhibit Z: NASD News Release dated March 23, 2005 titled “NASD Fines Citigroup Global Markets, American Express and Chase Investment Services More than \$21 Million for Improper Sales of Class B and C Shares of Mutual Funds”
- Exhibit AA: State of New Hampshire News Release dated July 12, 2005 titled “American Express Financial Advisors Reach Settlement with New Hampshire Bureau of Securities Regulation”
- Exhibit BB: NASD News Release dated October 25, 2005 titled “NASD Fines Ameriprise Financial Services, Inc. \$500,000 for Supervisory Violations in 529 College Savings Plan Sales”
- Exhibit CC: NASD News Release dated December 1, 2005 titled “NASD Fines Ameriprise Financial Services \$12.3 million for Directed Brokerage Violations”
- Exhibit DD: SEC Release No. 2451/27170 dated December 1, 2005, “Order Instituting Administrative and Cease-And-Desist Proceedings”
- Exhibit EE: Morningstar Stewardship Grade Report dated March 7, 2006
- Exhibit FF: Seminannual Report of AXP New Dimensions Fund for period ended January 31, 2004 (AEF009471-AEF009510)

- Exhibit GG: Annual Report of the AXP New Dimensions Fund for the period ended July 31, 2004 (AEF008852–AEF008907)
- Exhibit HH: Document entitled “American Express Funds – 2003 Annual Report on Mutual Funds Distribution” (AEFE000027830–AEFE000027867)
- Exhibit II: Document entitled “Annual Report on Fees and Expenses – Contracts Committee, April 2005” (AEF005598 – AEF005697)
- Exhibit JJ: Document entitled “Quarterly Report to American Express Funds Boards of Directors, 3rd Quarter 2003” (RS 012603–RS 012632)
- Exhibit KK: Document entitled “American Express Funds 2003 Annual Report – Profitability Report” (AEF017477–AEF017572)
- Exhibit LL: “American Express Funds – 2004 Annual Report on Mutual Funds Distribution” (AEF005948–AEF005998)
- Exhibit MM: Document entitled “American Express Funds – Board of Directors (Trustees) Minutes April 9-10, 2003” (AEF007480–AEF007519)
- Exhibit NN: Notice of Docketing Appeal in *Jones v. Harris Associates*, 2007 WL 627640 (N.D. Ill. Feb. 27, 2007), *appeal docketed*, No. 07-1624 (7th Cir. Mar. 21, 2007)
- Exhibit OO: Defendants’ Reply Suggestions in Support of its Motion *In Limine* to Preclude Evidence Relating to Sub-Advised and Institutional Accounts as filed in *Baker v. American Century*, United States District Court for the Western District of Missouri, Case No. 04-4039-CV-C-ODS
- Exhibit QQ: Defendants’ Expert Report of Ajay Khorana, Ph.D. dated December 15, 2006

DECLARATION OF CHARLES W. MURDOCK

- Exhibit A: Expert Report of Charles W. Murdock dated October 30, 2006
- Exhibit B: Rebuttal Report of Charles W. Murdock dated January 12, 2007

DECLARATION OF PROFESSOR MANNING WARREN

- Exhibit 1: Expert Report of Professor Manning Warren dated October 30, 2006

DECLARATION OF STEVE POMERANTZ, PH.D.

- Exhibit 1: Expert Report of Steve Pomerantz dated October 30, 2006
- Exhibit 2: Rebuttal Report of Steve Pomerantz dated January 12, 2007

DECLARATION OF EDWARD S. O'NEAL, PH.D.

- Exhibit 1: Expert Report of Edward S. O'Neal, Ph.D.
- Exhibit 2: Rebuttal Report of Edward S. O'Neal, Ph.D.

DECLARATION OF BRUCE G. DUBINSKY, MST, CPA, CFE, CVA

- Exhibit 1: Expert Report of Bruce G. Dubinsky, MST, CPA, CFE, CVA dated October 30, 2006
- Exhibit 2: Rebuttal Report of Bruce G. Dubinsky, MST, CPA, CFE, CVA dated January 12, 2007

If you are a participant in this case, this filing will be served upon you in conventional format.

This filing was not e-filed for the following reason(s):

___ Voluminous Document* (Document number of order granting leave to file conventionally: ___)

___ Unable to Scan Documents (e.g., PDF file size of one page larger than 2MB, illegible when scanned)

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X **Item Under Seal pursuant to court order** (Document number of Protective Order: **82** and **83**)

___ Item Under Seal pursuant to the Judicial Conference Privacy Policy (General Order 53)

(Document number of redacted version: ___)

___ Other (description):

Dated: April 10, 2007.

Respectfully Submitted,

By: /s Becky Ferrell-Anton
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